


PTO/RS/06 (06-09)


Approved for use through 04/30/2003. OMB 0451-0001  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/016,701	
	Filing Date	July 26, 2001	
	First Named Inventor	Boon Siew Ooi	
	Art Unit	2812	
	Examiner	Savitri Mulpur	
Total Number of Pages in This Submission	21	Attorney Docket Number	2103248-000140

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Fee Attached - \$950.00 <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavit/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Drawing(s) Formal - 13 sheets <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTOL-85 Part B (in duplicate) Letter to Draftsperson (in duplicate) Return Postcard
Remarks The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1894. A duplicate copy of this sheet is enclosed.		
Customer Number 26379		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual	Alan A. Limbach, Reg. No. 39,749 Gray Cary Ware & Freidenrich LLP
Signature	
Date	July 22, 2003

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed	Kathleen LaBrie
Signature	
Date	July 22, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to be (and by the USPTO in process) an application. Confidentiality is governed by 38 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9100 (1-800-768-9199) and select option 2.

American LegalNet, Inc.  
www.USCopyright.com

PTO/SB/06 (05-03)  
 For use through 04/30/2003. OMB 0951-0032  
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT	(\$ 950.00)
-------------------------	-------------

Complete if Known	
Application Number	09/916,701
Filing Date	July 26, 2001
First Named Inventor	Boon slaw Choi
Examiner Name	Sevitri Mulpur
Art Unit	2812
Attorney Docket No.	2103248-000140

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)																																																																																																																												
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Deposit Account Deposit Account Number: 07-1896 Deposit Account Name: Gray Cary Ware & Freidenrich LLP The Director is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.	<h3>3. ADDITIONAL FEES</h3> <table border="1" style="width: 100%;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>1051 130</td><td>2051 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>1052 60</td><td>2052 28</td><td>Surcharge - late provisional filing fee or other sheet</td><td></td></tr> <tr><td>1053 130</td><td>1053 130</td><td>Non-English specification</td><td></td></tr> <tr><td>1512 2,520</td><td>1512 2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>1804 920*</td><td>1804 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>1805 1,840*</td><td>1805 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>1251 110</td><td>2251 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>1252 410</td><td>2252 205</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>1253 930</td><td>2253 465</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>1254 1,450</td><td>2254 725</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>1255 1,970</td><td>2255 965</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>1401 320</td><td>2401 160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>1402 320</td><td>2402 160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>1403 280</td><td>2403 140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>1451 1,510</td><td>1451 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>1452 110</td><td>2452 55</td><td>Petition to revive - unworkable</td><td></td></tr> <tr><td>1453 1,300</td><td>2453 650</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>1501 1,300</td><td>2501 650</td><td>Utility issue fee (or release)</td><td></td></tr> <tr><td>1502 470</td><td>2502 235</td><td>Design issue fee</td><td>650.00</td></tr> <tr><td>1503 630</td><td>2503 315</td><td>Plant issue fee</td><td></td></tr> <tr><td>1450 130</td><td>1450 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>1807 50</td><td>1807 50</td><td>Processing fee under 37 CFR 1.17(c)</td><td></td></tr> <tr><td>1808 160</td><td>1808 160</td><td>Submission of Information Disclosure Sheet</td><td></td></tr> <tr><td>8021 40</td><td>8021 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>1809 750</td><td>2809 375</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>1810 750</td><td>2810 375</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>1801 750</td><td>2801 375</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>1802 900</td><td>1802 900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="3">Other fee (specify): Publication Fee (\$300)</td><td>300.00</td></tr> <tr> <td colspan="3">*Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3) (\$ 950.00)</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1051 130	2051 65	Surcharge - late filing fee or oath		1052 60	2052 28	Surcharge - late provisional filing fee or other sheet		1053 130	1053 130	Non-English specification		1512 2,520	1512 2,520	For filing a request for ex parte reexamination		1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action		1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action		1251 110	2251 55	Extension for reply within first month		1252 410	2252 205	Extension for reply within second month		1253 930	2253 465	Extension for reply within third month		1254 1,450	2254 725	Extension for reply within fourth month		1255 1,970	2255 965	Extension for reply within fifth month		1401 320	2401 160	Notice of Appeal		1402 320	2402 160	Filing a brief in support of an appeal		1403 280	2403 140	Request for oral hearing		1451 1,510	1451 1,510	Petition to institute a public use proceeding		1452 110	2452 55	Petition to revive - unworkable		1453 1,300	2453 650	Petition to revive - unintentional		1501 1,300	2501 650	Utility issue fee (or release)		1502 470	2502 235	Design issue fee	650.00	1503 630	2503 315	Plant issue fee		1450 130	1450 130	Petitions to the Commissioner		1807 50	1807 50	Processing fee under 37 CFR 1.17(c)		1808 160	1808 160	Submission of Information Disclosure Sheet		8021 40	8021 40	Recording each patent assignment per property (times number of properties)		1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))		1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))		1801 750	2801 375	Request for Continued Examination (RCE)		1802 900	1802 900	Request for expedited examination of a design application		Other fee (specify): Publication Fee (\$300)			300.00	*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$ 950.00)
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																										
1051 130	2051 65	Surcharge - late filing fee or oath																																																																																																																											
1052 60	2052 28	Surcharge - late provisional filing fee or other sheet																																																																																																																											
1053 130	1053 130	Non-English specification																																																																																																																											
1512 2,520	1512 2,520	For filing a request for ex parte reexamination																																																																																																																											
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action																																																																																																																											
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action																																																																																																																											
1251 110	2251 55	Extension for reply within first month																																																																																																																											
1252 410	2252 205	Extension for reply within second month																																																																																																																											
1253 930	2253 465	Extension for reply within third month																																																																																																																											
1254 1,450	2254 725	Extension for reply within fourth month																																																																																																																											
1255 1,970	2255 965	Extension for reply within fifth month																																																																																																																											
1401 320	2401 160	Notice of Appeal																																																																																																																											
1402 320	2402 160	Filing a brief in support of an appeal																																																																																																																											
1403 280	2403 140	Request for oral hearing																																																																																																																											
1451 1,510	1451 1,510	Petition to institute a public use proceeding																																																																																																																											
1452 110	2452 55	Petition to revive - unworkable																																																																																																																											
1453 1,300	2453 650	Petition to revive - unintentional																																																																																																																											
1501 1,300	2501 650	Utility issue fee (or release)																																																																																																																											
1502 470	2502 235	Design issue fee	650.00																																																																																																																										
1503 630	2503 315	Plant issue fee																																																																																																																											
1450 130	1450 130	Petitions to the Commissioner																																																																																																																											
1807 50	1807 50	Processing fee under 37 CFR 1.17(c)																																																																																																																											
1808 160	1808 160	Submission of Information Disclosure Sheet																																																																																																																											
8021 40	8021 40	Recording each patent assignment per property (times number of properties)																																																																																																																											
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																											
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																											
1801 750	2801 375	Request for Continued Examination (RCE)																																																																																																																											
1802 900	1802 900	Request for expedited examination of a design application																																																																																																																											
Other fee (specify): Publication Fee (\$300)			300.00																																																																																																																										
*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$ 950.00)																																																																																																																										

1. BASIC FILING FEE																																																									
<table border="1" style="width: 100%;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>1001 750</td><td>2001 375</td><td>Utility filing fee</td><td></td></tr> <tr><td>1002 330</td><td>2002 165</td><td>Design filing fee</td><td></td></tr> <tr><td>1003 530</td><td>2003 265</td><td>Plant filing fee</td><td></td></tr> <tr><td>1004 750</td><td>2004 375</td><td>Release filing fee</td><td></td></tr> <tr><td>1005 190</td><td>2005 95</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="3">SUBTOTAL (1) (\$)</td> <td>0.00</td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1001 750	2001 375	Utility filing fee		1002 330	2002 165	Design filing fee		1003 530	2003 265	Plant filing fee		1004 750	2004 375	Release filing fee		1005 190	2005 95	Provisional filing fee		SUBTOTAL (1) (\$)			0.00	<h3>2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE</h3> <table border="1" style="width: 100%;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>1202 18</td><td>2202 9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>1201 84</td><td>2201 42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>1203 280</td><td>2203 140</td><td>Multiple dependent claims, if not paid</td><td></td></tr> <tr><td>1204 84</td><td>2204 42</td><td>** Release independent claims over original patent</td><td></td></tr> <tr><td>1205 18</td><td>2205 9</td><td>** Release claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="3">SUBTOTAL (2) (\$)</td> <td>0.00</td> </tr> </tbody> </table> <p>** or number previously paid, if greater; For Release, see above</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	1202 18	2202 9	Claims in excess of 20		1201 84	2201 42	Independent claims in excess of 3		1203 280	2203 140	Multiple dependent claims, if not paid		1204 84	2204 42	** Release independent claims over original patent		1205 18	2205 9	** Release claims in excess of 20 and over original patent		SUBTOTAL (2) (\$)			0.00
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																						
1001 750	2001 375	Utility filing fee																																																							
1002 330	2002 165	Design filing fee																																																							
1003 530	2003 265	Plant filing fee																																																							
1004 750	2004 375	Release filing fee																																																							
1005 190	2005 95	Provisional filing fee																																																							
SUBTOTAL (1) (\$)			0.00																																																						
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																						
1202 18	2202 9	Claims in excess of 20																																																							
1201 84	2201 42	Independent claims in excess of 3																																																							
1203 280	2203 140	Multiple dependent claims, if not paid																																																							
1204 84	2204 42	** Release independent claims over original patent																																																							
1205 18	2205 9	** Release claims in excess of 20 and over original patent																																																							
SUBTOTAL (2) (\$)			0.00																																																						

SUBMITTED BY		Application No.		Date	
Name (Print/Type)	Alan A. Limbach	(Attorney/Agent)	39,749	Telephone	650-833-2433
Signature				Date	July 22, 2003

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-503a.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-706-9199) and select option 2.

American Legalnet, Inc.  
www.USCOPForm.com



## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** Box ISSUE FEE  
Commissioner for Patents  
Washington, D.C. 20231  
**Fax** (703)746-4000

**INSTRUCTIONS:** This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address, number (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CORRESPONDENCE ADDRESS (PLEASE LEGIBLY PRINT OR TYPE YOUR NAME AND ADDRESS IN BLOCK 1)

26379 7398 04/22/2003  
**GARY CARY WARE & FREIDENRICH LLP**  
1755 EMBARCADERO ROAD  
PALO ALTO, CA 94303-3340  
2000 University Avenue  
Palo Alto, CA 94303-2248

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmittal.

**Certificate of Mailing or Transmittal**  
I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Box Issue Fee address above, or being facsimile transmitted to the USPTO, on the date indicated below.

**Kathleen LaBrie** (Depositor's name)  
*Kathleen LaBrie* (Signature)  
July 22, 2003 (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/016,701	07/26/2001	Beno-Slew Col	021040-000000US	9267

TITLE OF INVENTION: METHOD FOR SHIFTING THE BANDGAP ENERGY OF A QUANTUM WELL LAYER

APPL. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	YES	\$1300	\$300	\$1600	07/22/2003

EXAMINER	ART UNIT	CLASS-SUBCLASS
MULPURI, SAVITRI	2812	438-023000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.333).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/125) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev. 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

**Gray Cary Ware & Freidenrich LLP**

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

**Phosistor Technologies, Incorporated**

(B) RESIDENCE (CITY AND STATE OR COUNTRY)

**Pleasanton, California**

Please check the appropriate assignee category or categories (will not be printed on the patent) ☐ individual ☒ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

- ☒ Issue Fee  
☒ Publication Fee  
☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s):

- ☒ A check in the amount of the fee(s) is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.

☐ The Commissioner is hereby authorized by check to refund any overpayment, to deposit advance number **07-1890** (attach an extra copy of this form).

Commissioner for Patents is requested to apply the issue fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

(Authorized Signature)

(Date)

*[Signature]* July 22, 2003  
NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered attorney or agent, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is exempted to allow 12 months to complete gathering, preparing, and submitting the completed application form to the USPTO. There will vary depending upon the individual case. Any documents on the outside of time you receive to complete this form under regulations for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMIT THIS FORM WITH FEE(S)

PTOL-85 (REV. 04-02) Approved for use through 01/31/2004. OMB 0451-0033

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE